

## **NEBRASKA FILING OFFICER CHART**

In an effort to make acceptance/rejection policies across the country more uniform, IACA (International Association of Corporate Administrators), Secured Transaction Section, developed the following chart & asked that state UCC offices complete the chart based on their states RA9 legislation, Administrative Rules, and policy. The following chart is for filing UCC's in Nebraska. The chart covers potential problematic completion of the forms by filers and how the UCC filing office in Nebraska will handle the document. Disclaimer: Although we attempted to address all situations encountered, other legal reasons for rejection may exist.

If the "action" taken is accept, it is noted on the chart. Acceptance of the document indicates that the filing office filed the document. In some instances, we expounded on the 'acceptance' of the document by adding situation specific comments. If the "action" taken by the filing office is rejection, we have sited the applicable statutory reference statute or Administrative Rules section that allows for the rejection.

If you have questions about the chart, please contact the UCC Division office at: (402) 471-4080.

### **The following assumptions apply:**

- 1. The problem described is the only issue; all other information on the form is correct.**
- 2. The procedure outlined is filing officer action only; it does not indicate legal correctness or perfection.**

<b>INITIAL FINANCING STATEMENT</b>	<b>Action</b>	<b>Revised Article 9 Section for rejection authorization</b>
<b>Contact Information</b>		
a. The filer fails to provide information in item A	<b>Accept:</b>	
b. The filer fails to provide information in item B.	<b>Accept:</b> acknowledgement is not required	

<b>Sections 1 &amp; 2. Debtor Information</b>		
1 a. The filer provides an organization name in item 1a & an individual name in item 1b	<b>Accept:</b> Index under both debtors with same address	
1b. The filer provides an organization name in item 1a and an individual name in item 1b. Item 2a and 2b are blank and item 1c & item 2c are completed as well as all other pertinent information	<b>Accept:</b> Index under both debtors in 1a and 1b, using address in 1c. Send notification letter to filer regarding address in 2c	
1c. The filer provides an organizational name in item 1a. Items 1c-1g are completed. Debtor name is provided in item 2a. No information is provided in item 2c	<b>Accept:</b> Index under debtor name in 1a. Send notification letter to filer regarding debtor name in 2a.	
1d. The filer provides an organizational name in 1a, but fails to provide information in 1e	<b>Reject</b>	9-516(b)(5)(C)(i)
1e. The filer provides an organizational name in 1a, but information provided in 1e does not appear to be a type of organization	<b>Accept</b>	
1f. The filer provides an organizational name in 1a, but fails to provide information in 1f	<b>Reject</b>	9-516(b)(5)(C)(ii)
1g. The filer provides information that does not appear to be a jurisdiction in 1f.	<b>Accept</b>	
1h. The filer provides an organization name in 1a, but fails to provide information	<b>Reject</b>	9-516(b)(5)(C)(iii)

or check 'none' box in item 1g		
1i. The filer provides an organization name in 1a, but provides an organization identification number that does not appear to be valid	<b>Accept</b>	
<b>Section 3. Secured Party Information</b>		
3a. The filer provides an organization name in item 3a and an individual name in item 3b. An address is provided in item 3c	<b>Accept:</b> Index under both secured party names in 3a & 3b, using address in 3c	
<b>Section 4. Collateral Information</b>		
4a. The filer fails to provide information in item 4	<b>Accept</b>	
4b. The filer provides information in item 4 that appears to require filing officer action (i.e.: additional debtor or indicate debtor is a transmitting utility	<b>Accept</b> & take no action	
<b>Section 5. Alternate Designation</b>		
5a. The filer checks "Non-UCC filing" box in item 5	<b>Accept</b>	
5b. The filer checks multiple boxes in item 5	<b>Accept</b>	
<b>Section 6. Real Estate Recording</b>		
6a. The filer checks the box in item 6	<b>Accept</b>	
6b. The filer checks the box in item 6 but fails to provide an addendum	<b>Accept</b>	
<b>Section 7. Search Report Requests</b>		
7a. The filer checks a box in item 7	<b>Accept</b> & conduct a search that includes the filing	

<b>Section 8. Optional Filer Reference Data</b>		
8a. The filer provides information in item 8 that appears to require filing officer action	<b>Accept</b> & take no action	
<b>FINANCING STATEMENT ADDENDUM</b>		
<b>Section 9. Name of First Debtor on Related Financing Statement</b>		
9a. The filer fails to 1) replicate the information in item 9; 2) filer truncates the information in item 9; 3) filer abbreviates the information in item 9; or 4) filer fails to provide information provided in item 1	<b>Accept</b>	
<b>Section 10. Miscellaneous</b>		
10a. The filer provides information that appears to require filing officer action	<b>Accept</b> & take no action	
<b>Section 11. Additional Debtor</b>		
11a. See debtor information in Section 1 of this document		
<b>Section 12. Additional Secured Party</b>		
12a. The “Assignor” box is checked	<b>Accept</b> & index the information as a secured party	
12b. The filer provides a secured party name in item 12a or item 12b but has not checked either the “Additional Secured Party” or “Assignor” box	<b>Accept</b> & index the information as a secured party	

<b>Sections 13, 14, &amp; 15 Real Estate Recording Designation</b>		
If filer checks item 6 on initial financing statement, and:		
a) filer fails to complete item 13, 14, & 15	<b>Accept</b>	
<b>Section 16. Additional Collateral Description</b>		
16a. See information in Section 4 of this document		
<b>Section 17. Debtor Designation</b>		
17a. Boxes are checked in item 17	<b>Accept</b> & take no action	
<b>Section 18. Duration of Filing</b>		
18a. Filer checks a box in item 18	<b>Accept</b> & set appropriate lapse date	
18b. Filer checks all boxes in item 18	<b>Reject</b>	9-516(c)(1)
<b>AMENDMENTS</b>		
<b>Initial Financing Statement File #</b>		
1a. The filer provides the initial financing statement number, but fails to provide any other information on the form	<b>Reject</b>	9-516(c)(2). Need indication of type of amendment
1b The filer provides the initial financing statement number & provides other information on attachment(s)	<b>Reject</b>	9-516(c)(2). Need indication of type of amendment
1c. The filer provided a number assigned to an amendment (UCC3) rather than an initial financing statement number	<b>Reject</b>	9-516(b)(3)(B)(i)
<b>Terminations</b>		
2a. A termination is received after other termination(s) are filed.	<b>Accept.</b> Multiple terminations may be filed as long as the initial termination was filed post 7-1-01	

<b>Continuations</b>		
3a. Multiple continuations received within the six-month continuation window	<b>Accept</b> & only extend lapse date on first continuation	
3b. Continuation statement received within the six-month continuation window prior to lapse date, but after termination filed	<b>Accept</b> & extend lapse date	
<b>Assignment</b>		
4a. The filer checks the assignment item 4 & provides no other information	<b>Reject</b>	9-516(b)(6)
4b. The filer fails to provide assignor's name in item 9	<b>Accept</b>	
4c. The filer fails to provide assignment information in item 7 (filer provided information in another field on the form)	<b>Reject</b>	9-516(b)(6)
<b>Amendment (Party Information)</b>		
Assumption: Name 'change' and name 'add' as indicated in item 5 and item 7a or item 7b means name not previously provided, i.e. new name. This assumption applies to both secured party and debtor		
5a. The amendment affects debtor. The filer checks 'change' in item 5 & provides information in item 7a & omits 7e, f, & g	<b>Reject</b>	9-516(b)(5)(C)
5b. The filer checks 'change' & only provides information in item 6 (current record information)	<b>Reject</b>	9-516(b)(4),(5)
5c. The filer checks 'delete' & only provides information in item 7 (changed (new) or added information)	<b>Accept</b> & take no action	

5d. The filer checks 'add' & only provides information in item 6 (current record information)	<b>Reject</b>	9-516(b)(4),(5)
5e. The filer does not check 'change', 'delete', or 'add' in item 5. The filer has only provided information in item 6 (current record information)	<b>Reject</b>	9-516(c)(2). Need indication of type of amendment
5f. The filer does not check 'change', 'delete', or 'add' but does check 'secured party' or 'debtor' in item 5. The filer has only completed information in item 7 (change (new) or added information)	<b>Accept</b> & take no action	
5g. The filer checks 'change' or 'add'. No other information is provided	<b>Reject</b>	9-516(b)(4),(5)
5h. The filer fails to check either 'debtor' or 'secured party' but an action is indicated in item 5 & required information is provided in item 7	<b>Accept</b> & take no action	
5i. The filer checks 'debtor' & 'change' in item 5, only provides debtor name in item 6 & information in item in items 7e, 7f, & 7g	<b>Reject</b>	9-516(b)(5)
5j. The filer checks 'secured party' & 'change' in item 5, only provides a secured party name in item 6a or 6b & a secured party name in item 7a or 7b	<b>Reject</b>	9-516(b)(4)
5k. The filer checks 'secured party' & 'add' in item 5, only provides a secured party name in item 6a or 6b, & a secured party name in item 7a or 7b	<b>Reject</b>	9-516(b)(4)

5l. The filer checks 'debtor' or 'secured party' & 'change' in item 5, only provides a name in item 6a or 6b & information in item 7c	<b>Reject</b>	9-516(b)(4), (5)
5m. The filer checks 'debtor' & 'change' in item 5 & provides the same name in item 6a & item 7a & information in item 7c only, omitting 7e, 7f, or 7g	<b>Reject</b>	9-516(b)(5)(C)
5n. The filer checks both 'debtor' & 'secured party' boxes in item 5	<b>Reject</b>	9-516(c)(1) with respect to 9-516(b)(4), (5) and (6)
5o. The filer checks 'debtor' & 'change' in item 5, provides debtor name in item 6a or 6b & same debtor name in item 7a or 7b, plus completes information in items c, e, f, & g	<b>Accept</b> & index (Filer is adding organizational information to the record)	
5p. The filer checks 'debtor' & 'delete' in item 5 & provides a name in item 6	<b>Accept</b> & take no action	
<b>Amendment (collateral change)</b>		
8a. The filer provides information in item 8 & fails to indicate requested action 'deleted, added, restated, or assigned'	<b>Reject</b>	9-516(c)(2). Need indication of type of amendment
8b. The filer checks all boxes in item 8	<b>Reject</b>	Administrative Rules, section 101.1. Multiple actions not allowed on 1 form
<b>Name of Secured Party authorizing this Amendment</b>		
9a. The filer does not provide a Secured	<b>Accept</b>	



Party or Debtor name in item 9		
<b>Optional Filer Reference Data</b>		
10a. The filer provides information in item 10	<b>Accept</b> & take no action	
<b>Amendment Addendum</b>		
a. The filer provides information in item 13. The filer has not provided the initial financing statement number in item 11	<b>Accept</b>	
b. The filer provides information in item 13. The filer does not provide the Name of Party authorizing the amendment in item 12	<b>Accept</b>	
c. The filer provides information in item 13 that appears to require filing office action	<b>Accept</b> & take no action	
<b>AMENDMENT COMBINATIONS</b>		
a. The filer checks item 2 (termination) & item 3 (continuation)	<b>Reject</b>	Administrative Rules, section 101.1. Multiple actions not allowed on 1 form
b. The filer checks item 2 (terminations) in item 4 (assignment)	<b>Reject</b>	Administrative Rules, section 101.1. Multiple actions not allowed on 1 form
c. The filer checks item 2 (termination) & item 5 (party information)	<b>Reject</b>	Administrative Rules, section 101.1. Multiple actions not allowed on 1 form
d. The filer checks item 2 (termination) & item 8 (collateral change)	<b>Reject</b>	Administrative Rules, section 101.1. Multiple actions not allowed on 1

		form
e. The filer checks item 3 (continuation) & item 4 (assignment)	<b>Reject</b>	Administrative Rules, section 101.1. Multiple actions not allowed on 1 form
f. The filer checks item 3 (continuation) & item 5 (party information)	<b>Reject</b>	Administrative Rules, section 101.1. Multiple actions not allowed on 1 form
g. The filer checks item 3 (continuation) & item 8 (collateral change)	<b>Reject</b>	Administrative Rules, section 101.1. Multiple actions not allowed on 1 form
h. The filer checks item 4 (assignment). The filer checks box item 5 (party information-debtor) other than 'delete'. Items 6 & 7 are left blank	<b>Reject</b>	Administrative Rules, section 101.1. Multiple actions not allowed on 1 form
i. The filer checks item 4 (assignment). The filer checks box in item 5 (party information-secured party) other than 'delete. Items 6 & 7 are left blank	<b>Reject</b>	Administrative Rules, section 101.1. Multiple actions not allowed on 1 form
j. The filer checks item 4 (assignment). The filer checks 'delete' in item 5 (party information-debtor).	<b>Reject</b>	Administrative Rules, section 101.1. Multiple actions not allowed on 1 form
k. The filer checks item 4 (assignment). The filer checks 'delete' in item 5 (party information-secured party).	<b>Reject</b>	Administrative Rules, section 101.1. Multiple actions not allowed on 1 form

l. The filer checks item 4 (assignment & item 8 (collateral change)).	<b>Reject</b>	Administrative Rules, section 101.1. Multiple actions not allowed on 1 form
m. The filer checks item 5 (party information) & item 8 (collateral change).	<b>Accept</b> & index	
<b>MISCELLANEOUS</b>		
a. Use of words such as ‘same’, ‘n/a’, ‘not applicable’, ‘none’, or ‘see attached’, ‘see addendum’, ‘see exhibit’, or comparable phrases	<b>Accept:</b> Words used in the form fields should not be interpreted by the filing office. Filing Office will index all form fields exactly as given.	
b. Attached pages. Filer adds an attachment that is not the national addendum form	<b>Accept.</b> Do not index information on attachment	